a leader-training WORKBOOK

the leader and THE PROCESS OF CHANGE

Thomas R. Bennett II

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OF CHANGE

by
Thomas R. Bennett II

Illustrated by
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THE LEADER AND THE PROCESS OF CHANGE

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monograph

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INTRODUCTION

This little volume is, in some ways, an important symbol of our way of life. It reflects our recognition that leadership insights and skills are needed at many levels by many people in many kinds of organizations throughout the nation.

A free democratic society depends on voluntary efforts rather than coercion to get its important jobs done, believing that neither creativity nor co-operation can long be commanded. The linking of different individuals' energies, experience, and skill to achieve a goal is a complex process, requiring much of both leaders and members. Group effort is often ineffective and frustrating – meetings drag on endlessly, issues get rehashed, decisions are delayed, committees "keep minutes and waste hours."

Leaders and members who have grown impatient with such group efforts are beginning to find new "handles" to their frustrating problems. Behavorial scientists are building an impressive body of knowledge about what makes people "tick" – why we are motivated, why we resist, what helps us to be creative, and how we can combine our efforts most effectively in groups.

Recently, Leadership Resources, Inc. began to bring this growing body of knowledge about group and leadership behavior into sharper focus by publishing its LOOKING INTO LEADERSHIP monographs. Since their appearance, these illustrated monographs have been used extensively in the leadership and management develop-

ment programs of voluntary organizations, business firms, and government agencies.

To make these widely tested and approved materials even more generally available, Leadership Resources, Inc. (LRI) and Association Press have joined forces to create and publish this new series of leader-training workbooks. Each workbook includes one of LRI's monographs with some textual revisions, together with specially prepared self-examination questions. This new format is designed to help the reader "think along" with the author throughout the book – continually testing and applying the principles to groups he knows.

The Leader and the Process of Change deals with one of the most bewildering problems confronting individuals and groups in our society – initiating or adjusting to change. To be effective means to influence. How can we diagnose a situation requiring change so that we can make the best use of our influence power? Dr. Thomas R. Bennett II presents a clear procedure developed by social scientists. Dr. Bennett is Professor of Psychology and Director of Graduate Studies at George Williams College.

Association Press and LRI hope that this LEADER-TRAINING WORKBOOK will provide new insights and stimulation to those who seek to strengthen the leadership fiber of our nation – from committee and chapter to corporation and government agency.

WARREN H. SCHMIDT, PH.D.
Editor

how to read this WORKBOOK

. . . to get the most from this material about the process of change, change *your* process of dealing with printed pages — read this book in a new way.

Read only right-hand pages as you go through the book. First you may wish to read through all of the right-hand pages very quickly.

Then go back. Begin reading now as though Dr. Thomas R. Bennett were talking directly and only to you.

This time, as you finish each right-hand page, *don't* turn to the next right-hand page. Stop. Deal with any material on the facing left-hand page before you go on to the next right-hand page.

Many left-hand pages can be worth a long stop. They'll try to involve you *in* what the author is saying . . . try to help you feel it, measure it, apply it, practice it. For a new "reading" experience, don't skip those left-hand pages.

THE PUBLISHER

A LEADER OFTEN WANTS TO KNOW . . .

1. What can I do when I see needed changes and others do not recognize the problem?
2. Why is "change" such a frightening word to some people?
3. What can I do about resistance to change?
4. Why won't people help with a needed change, rather than fighting it every inch of the way?
5. How can I work with other people to help bring about changes with less frustration and fighting?

SOCIAL SCIENCE AND PRACTICAL EXPERIENCE TELL US . . .

Today's world is a world of rapid change. In less than two decades, modern technology has leaped from conventional to nuclear power, from pistons to jets, and has converted "earth men" into "space men."

These changes create a new environment for people, requiring changes in human behavior and organizations. There is a tendency to underestimate the impact of these rapid and sweeping changes upon the feelings and attitudes of people. The changed environment compels us to re-examine the familiar in life and work, and to accept uncertainty when stability is most desired. In confronting and managing the impact and consequences of change within our lives, a most important source of help is in the organizations of the community.

Let me think for a moment about one of the changes I have most recently experienced. What was my reaction to it? What are the questions I have? What do I want to know about change?

Organization and Leadership

An *organization* can be described as *the way in which people arrange themselves and their relationships with others in order to get something important accomplished,* either for themselves or for society. An industrial organization is such an arrangement, with the goal of manufacturing and distributing a consumable product. A voluntary organization brings together persons interested in some social need to provide a service or promote a common interest. A neighborhood civic group may be a *small* organization, with people working closely together in their common action, but it is still an arrangement of persons for a useful and productive activity.

When people want to change anything in their environment, or to resist a change taking place, they *organize.* They talk with other interested persons. Meetings are held. Goals must be determined. Plans are made. Officers and positions are created for getting work done, and for directing the energy and activity of the people involved. This requires *leadership* – the co-ordination of the motivation and energy of persons for accomplishing something they feel is important.

Most of the positions of leadership with which we are familiar are in organizations. Leaders, faced with world changes, are trying to find ways of doing things differently in their organizations. Further, in the complex environment which modern technology has created, organizations become increasingly important. They pro-

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What do I feel are some of the important changes that have occurred in my life in the past two or three years? Are some of these in my occupation? in my family? in my neighborhood? What have been my reactions to these changes? How have others reacted to these same changes?

vide the ways in which persons can both relate to this environment and possibly change it. A leader looking at change is trying to find a way in which the organization or group can function more effectively. He must, therefore, plan for changes which will bring this about.

Change Is Everybody's Business

Practical experience tells us that this kind of planning goes on day by day in the life of almost every person. Parents plan ways to introduce changes into the life of the family. The executive working through a stack of correspondence and memoranda is often planning or setting in motion processes which will require different behavior by others and himself. A supervisor, anticipating the installation of new equipment, must begin planning for changes in production procedures, in the performance of personnel, and in the work flow.

In each of these situations, people are beginning to confront a new environment with new demands which have emerged in the midst of a familiar world. In each instance, thought must be given to creating new kinds of appropriate behavior. *This is what change always requires:* helping people to develop appropriate behavior in a new environment so that they can continue to be effective and creative.

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What would I do in a situation like this?

An organization to which I belong wants and must have new members, but has difficulty accepting people who are too different from our current membership. This year I have been elected president. What would I do to help change this situation?

Social Science Studies

Change occurs when the balance and stability of a situation is altered in some way, and "things begin to happen." Forces are released or introduced and there is a difference, whatever the goal may be; the familiar has been shaken. Social scientists have been studying the process of change in many ways. For example, current research in the treatment of mental illness emphasizes the importance of the physician's attitude and response toward the patient. One notable study concluded that a psychiatrist's "open" and "non-judgmental" response to the patient was more important for the patient's recovery than any particular theoretical orientation. This "openness" in the behavior of a leader is a recurrent theme in research studies and in practical experience.

Similar findings have emerged in industrial studies of the behavior of foremen. High-producing work units consistently had foremen who were more oriented to the personal needs of workers than were the foremen in low-producing units. The more personalized approach of foremen to workers did *not* minimize the need for production goals. Rather, it created a climate in his immediate relationships in which the worker knew that he was regarded as a *person,* as well as a "producing unit."

Sociologists and social psychologists have also studied extensively the process of change in *groups*. For example, the analysis of group leadership has consistently underlined the high price paid by groups whose

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How do I really feel about change when I have to accept it in a situation? What are my typical ways of resisting changes I don't like, but *have* to accept?

leaders focus almost all their attention on tasks, and do little about the involvement and relationships of persons. There is research on ways to help groups maintain effective communication and mobilize their energy to accomplish necessary tasks. Almost every leader of a committee, an office "task force," or a regular work group has probably asked, "How do I keep them together and moving together so that this change can take place?"

The process of change in large organizations has been studied extensively. Some of the studies focus on the problems of introducing organizational changes designed to increase effectiveness and efficiency for production. How can management best initiate changes? Are there ways in which training programs can be introduced to minimize the impact of production changes on workers? On an even broader scale, attempts have been made to meet the problem of community disorganization by introducing new types of citizen groups and providing new channels for citizen participation in neighborhood changes. An increasing concensus among social scientists is that the *feelings* and *attitudes* of a leader about *both* persons and change are central in any efforts to help changes take place. Our feelings in any situation "show through" regardless of words and actions intended to "hide" them. Others "get the message." Consequently, clarity about a leader's assumptions and feelings, both within himself and in his relationships to those with whom he is working, is imperative for personal effectiveness.

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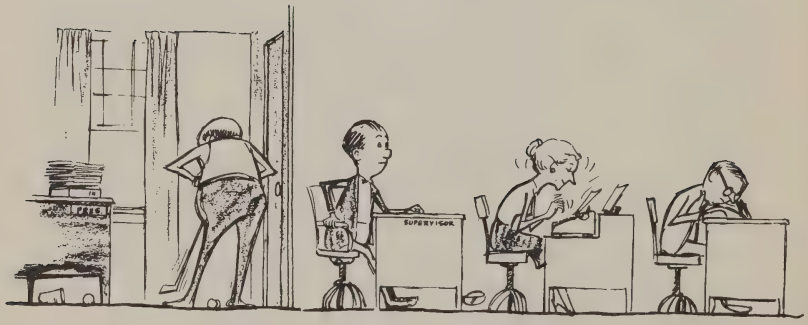
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SOME USEFUL GUIDELINES . . .

- Before a leader initiates change efforts he should examine his assumptions about persons, about the nature of the organization, about the value of the goal he is seeking, and about the importance of the change itself.

- Change takes place in the day-by-day relationships of people. Whenever we talk about planned change, we are talking about people. To introduce changes as if people were not involved is to threaten the change effort with defeat.

- The attitude of a leader toward other persons is probably more critical than the nature of the change itself.

- People fear change because it undermines their security. In introducing change of any kind, and of whatever magnitude, the leader needs to introduce support and help for the people affected.

- The process of change is helped when the persons who will be affected can participate in the decision-making process and in planning for the change. The greater the participation, the more opportunity to identify personal resistances. The greater the participation, the more assurance people have of being able to influence the direction and the impact of the change.

What are some of the ways I can act toward others which will give them support and assurance in the midst of change? How have other people been helpful to me when I have had to adjust to a major change?

A LOOK AT BASIC CONCEPTS . . .

We are frequently misled by the assumption that people and situations are "standing still." We express this feeling in many ways: "The *status quo* is just too much"; or "That bunch has been standing pat for years"; or "You couldn't budge them with a ten-foot crowbar." Actually, careful observation will establish that there is a *dynamic* situation wherever persons are interacting with one another. Even the appearance of stability may cover a constantly shifting set of forces. One of the important tasks for a leader who wants to change a situation is to analyze the forces that are involved. This can help to identify the subtle changes which are taking place, since some of these may be most helpful in bringing about the change he is considering.

There are natural and man-made changes which are continuously faced by people. Most leaders, however, are interested in making *deliberate* attempts to alter situations. This is *planned change* – the effort to plan and create innovations that will make a difference in the functioning of the organization and the groups within which the leader is working.

Types of Change

• **Change in Structure.** If the formal and established arrangement of persons and positions is found to be inadequate, a new structure can be devised. The old "organizational chart" is thrown away, and a new one is

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hung on the wall. This may result in a "shuffling" of old positions and present personnel, as well as the creation of new jobs and work groups. Such a reorganization of a company or a committee is intended to change the relationship of persons so that work is done more effectively and efficiently.

• **Change in Technology.** *Technical changes* are introduced as processes designed to improve the efficiency and productivity of an organization. For example, the purchase of electric typewriters to replace standard equipment in an office is such a technical change. The introduction of electronic processes as a replacement of manual methods in accounting is a change in office technology. Automation in production processes is one of the more outstanding technical innovations now occurring in industry.

• **Change in Behavior.** Changes in organizational structure and technology involve people. Further, such changes usually require that the persons involved must develop new ways of behaving and establishing new relationships to other people. Any leader can probably think of persons whose behavior he wishes was different. Bringing about such behavioral change is often a most important task of a leader.

The foreman attempting to cut down absenteeism among production workers is seeking a change in the behavior of people. So is the office manager who wants to reduce the interpersonal friction among secretaries. The committee chairman who wants more participation

What are some specific illustrations of these types of change from my own experience? How would I describe my involvement in any one type at the present time?

from all of the members rather than domination by a few is likewise seeking change in the behavior of people. Their basic problem is the same: *How can people be helped in the present situation to develop behavior which will enable them to be more effective and creative persons?*

• **Change in Assumptions and Values.** If people are to develop new ways of behaving and responding to other persons, they must sometimes *change the assumptions and values* which guide their behavior. Assumptions are what we "feel we know" in advance about people and situations. If the assumptions we make are based on fact, our behavior is likely to be relevant and rational. Often, however, assumptions based on past experience are used without giving them any rational analysis. We are then committed to behavior which can be impulsive and irrational.

Values, in turn, are our estimates of what is important both to ourselves and to others – and these judgments have a crucial influence on our decisions and our relationships. The supervisor who assumes that "if you give them an inch they'll take a mile" is making an assumption about the motivations of others which will influence his attitude and relationships with subordinates. The committee chairman who feels that the *task* confronting the group is the most important issue has made a value judgment which may make him impatient with the member who has some personal concerns that interfere with getting the job done. In helping with

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change in any situation, a leader must be sensitive to the assumptions and values which are guiding the behavior of persons who are involved. In his own leadership, *the leader needs real insight into the assumptions and values guiding his behavior, and why he has made his judgments about the importance of the change he is seeking.*

What Leaders Can Do

Since changes inevitably involve the behavior and relationships of people, there are some points to which the leader needs to give careful attention.

1. *The leader should begin the change effort at the point where he has the most control and can make reliable predictions about the consequences of his actions.* For most of us, this point is within the day-by-day relationships in which we function. In these daily relationships with superiors, colleagues, and subordinates, a leader is likely to know more accurately what can be expected of other persons and what is expected of him. This is also the network of relationships in which he has the most self-control. He can do more about his own attitudes and actions to be of help to the persons who will be directly affected by the change. A supervisor may expect to have little success in changing the behavior of the president of the company, but he can expect to have considerable influence in bringing about change among subordinates.

These daily relationships are important for other

Let me think about a situation in which I am currently involved in change. What do my relationships tell me about the situation? Are there any spontaneous changes to which I should be alert?

reasons. Many of the changes a leader will attempt begin as a "hunch" that something needs to be done – that some change is needed. These "hunches" emerge from the feelings and the experiences we accumulate from this daily interaction with our associates and fellow workers. A leader cannot sit down and say, "I will now produce a hunch!" These insights are spontaneous. They come because we have examined our feelings and ideas, because we have listened to others, and because we are responding to persons and the situation.

At the same time, there are *spontaneous changes* occurring in situations which a leader may be seeking to change. For example, people unexpectedly may begin to trust one another to a greater degree. A leader may not have sought this change in any way, and yet it may be fundamental in his effort to alter a situation. A random suggestion during a committee meeting can change the direction of work, even provide a new and more important goal. These are not deliberately planned and initiated changes – they just "happen," produced from the creativity and imagination of persons working together to resolve the tensions that create the need for change in the first place.

2. *The leader should recognize that change in any part of the situation affects the whole.* To purchase electric typewriters for all of the secretaries as a replacement for their standard non-electric equipment may *appear* to be only a technical change that will make possible greater efficiency and productivity. However, new

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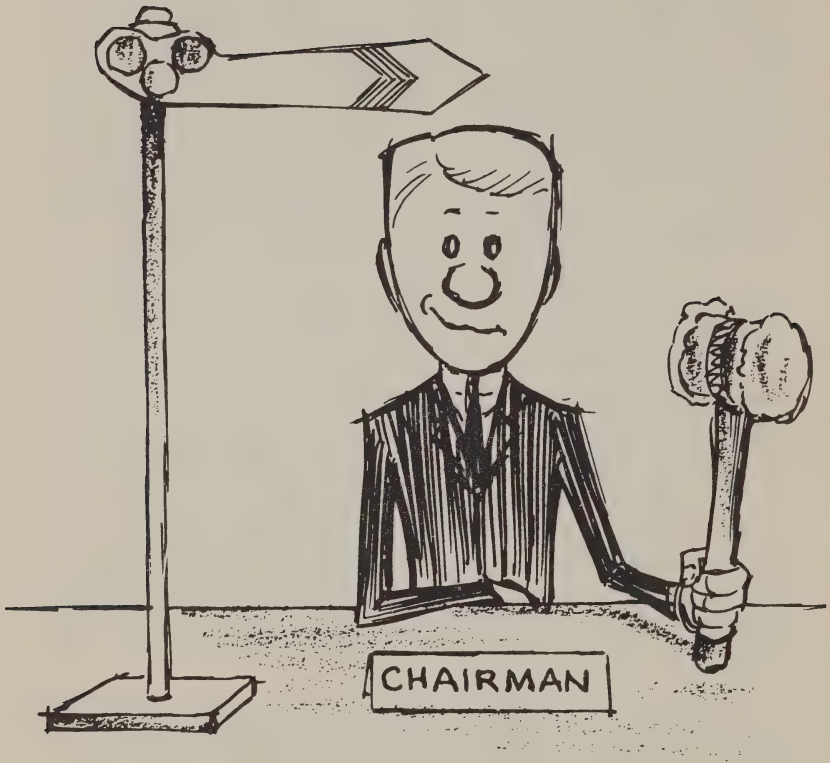
CHAIRMAN

typewriters require the secretaries to make adjustments in their skills. Some of the secretaries may be "quick learners." Some may resent being forced to give up equipment with which they are familiar. These responses may change the relationships of the secretaries to one another, and suddenly the office manager may find that increased interpersonal friction is actually reducing the productivity of the office staff! He discovers that the new typewriters, which seemed to be "a small change," actually have created a new environment. Many leaders recognize that "little changes" can create big problems unless the situation has been carefully analyzed to anticipate the consequences of each step in the change process.

3. *The leader must have clear goals.* In planning for a change, the leader must have a clear idea about the end which is being sought. This will require a resolute examination of the assumptions and values he is making to justify the introduction of change. Without this clarity, the objective cannot be adequately interpreted to others, and their anxiety and resistance will increase.

The other side to this task is the need for an "operational theory" – some ideas which the leader can use in thinking about the structure involved in the change, the processes which may be utilized, and the relationships and problems which may be encountered from the beginning to the completion of the change effort. This kind of theory or set of ideas enables a leader to "see"

Imagine this situation:

A meeting has been called of a committee to develop a new program. An agenda has been prepared which states the purpose of the meeting, and also suggests some ways in which the new program should be different from previous activities. As the meeting progresses, some members become increasingly belligerent, some quit talking at all, and many remarks are made which seem to indicate confusion. Imagine I am a member. What "hunches" do I have about what is wrong? How can I test which "hunch" is correct? In what ways could I help improve the situation?

what is happening. It increases his ability to analyze the dynamics of the change process.

The leader's "sensitivity" then enables him to respond creatively to the forces influencing the change process. This capacity to assess the feelings and attitudes of others toward the change requires an openness on the part of the leader about his own motives and plans, as well as a genuine willingness to respond to the feelings and needs of the other persons being affected by the change.

The skills of a leader, therefore, are particularly crucial. In his own personal performance he must be able to do what is needed when it is needed. If persons are lacking adequate information, he must be able to supply it. If people have serious criticism of the change being undertaken, the leader must make certain that it can be expressed openly and freely. Hindsight may make interesting conversation, but foresight and effective performance in the midst of the situation are more helpful.

Resistances to Change

Every leader recognizes that people often resist change. By understanding some of the reasons for this resistance, he can diagnose more effectively the "blocks" which can interfere with change. Some common causes of resistance are:

• **Fear of Disorganization.** When situations "stay put," people know what to expect, how to respond, and

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things "fit together." This means that their experience has a unity which is satisfying, and their relationships with others have a stability that provides security. In short, the familiar is a situation in which our expectations, responses, and anticipation of consequences are "organized" – there is a stability and predictability that enables us to "know what to do." Change, however, confronts persons with the *new* – the "unknown" – and in this situation predictions are difficult and action is uncertain. This disorganization of the familiar often arouses anxiety and fear. A leader must help persons to manage and reduce this anxiety and fear if any change is to be accomplished.

• **Vested Interest.** Sometimes a person's power and status are so tied to the existing situation that any change means a potential personal loss. Change will "cost" him too much, and so he will resist. An example is the organized effort of persons without children to resist a school bond issue because its passage means a rise in taxes for everyone. At other times, however, a vested interest may operate because people view the present situation as satisfactory. This is the "we never had it so good" response.

• **Conflict of Interest.** Change can also be blocked when the traditions, standards, and values of a person or a group are threatened. People may recognize that the planned change is necessary, but their response is one of "you have to take it easy – people don't change overnight." Leaders know that individuals and groups ex-

As I think back over my past experience, I can remember a situation which illustrates each of these:

- Fear of disorganization
- Vested interest
- Conflict of interest

perience competing demands because of their involvement in other groups and relationships that are external to the situation in which the change is occurring. At the same time, if people have not shared in creating the goals which are to be accomplished through change, it will be difficult for them to develop the interest and the energy necessary for effective involvement.

Some Ineffective Responses to Resistance

When a leader meets opposition to his change effort, he must consider carefully his response. Some of the common – but usually ineffective – reactions are these:

• DEFENSE. The leader views opposition as a personal threat or attack even when the resisters may have legitimate questions which need answering. The result may be long speeches of self-justification, or the "I'm deeply hurt that you should feel this way" attitude.

• ADVICE-GIVING. This is attempting to tell other people affected by the change what "I would do if . . ." Rather than aiding in the expression of feelings and in the development of a rational analysis of the problems which persons are experiencing in the change effort, a leader is subtly transferring to the other person his own personal feelings.

• PREMATURE PERSUASION. Usually expressed as "I'm sure that when you have all of the facts you will see it my way." This is the attempt to argue

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What are my *specific* feelings about conflict? How do I behave when people oppose my plans, my ideas?

persons out of their resistance, meeting their feelings with ideas (or information) from the leader. The result can be repression of feeling and the avoidance by the leader of problems which others are genuinely facing.

• CENSORING. This is a response in which opposition is met by the expression of attitudes of disapproval on the part of a leader. People are left feeling that their values are all wrong even if the problems are real. This is illustrated by the comment, "Even though he seems to agree with what I said, I *felt* he disapproved of me and my motives."

• CONTROLLING. This occurs when a leader seeks to gain enough power (influence) or authority to *force* the change by controlling the opposition. The leader's attitude is, "Here are the plans that have been made, and this is what we're going to do." This usually receives the "you can't fight City Hall" response from others.

• PUNISHING. When persons who are resisting the change are *rejected* by the leader and subjected to attacks on their motives, they are being punished. This approach tries to bring the opposition "into line" by withholding rewards of various kinds, sometimes even going to the extreme of forcing the "opposition" to get out of the situation. *Where controlling people aims at the repression of opposition, punishment aims at its elimination.*

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The Values of Resistance

The basic difficulty with these methods is the assumption that all resistance is negative. Actually, leaders know that resistance can perform some useful functions within a change effort. This has been long recognized in politics when we speak of "the loyal opposition." For example,

1. Resistance can force a leader to clarify more sharply the purpose of the change and the results to be achieved.

2. Opposition can disclose within an organization or a group inadequate communication processes and an insufficient flow of information – both of which are essential to any change being attempted.

3. The fear of disorganization which many persons experience in the midst of change may force a leader to a more careful examination of possible consequences, both immediate and long-range. This may lead to a revision in plans which increases the effectiveness of the change effort. Any change can have unexpected consequences which, if not detected early, can be quite disastrous. Resistance often provides clues for the prevention of this possibility.

4. Opposition to the change effort can disclose the inadequacy of problem-solving and decision-making processes so that a leader can determine

whether or not the relevant involvement of persons and groups in the change effort has been secured.

Even in the most tense situation of conflict caused by opposition, it is probable that there are two positive forces at work. The first of these is the spontaneous changes to which a leader needs to be alert. Such unanticipated shifts in the responses and feelings of persons may be the seeds of mediation and reconciliation. A second force is the *urge to communicate* between the opposing persons or groups. The communication may be sporadic, even hostile, but there is the need to maintain relationships.

What these forces indicate is the tendency to seek a reduction of tension in situations where there is conflict over change. This is an important point for a leader. It means that his responses to conflict can either frustrate or facilitate the natural processes within the situation which are aiding resolution. This also suggests some positive actions for a leader.

What Can a Leader Do?

If opposition is to serve these creative functions, the leader must be capable of doing at least two things. *First,* he must be able to function in his relationships to create a *climate* where doubts and feelings can be openly expressed and mutually analyzed. This requires a *nonjudgmental* approach, without resorting to censoring, controlling, or punishing the opposition. The reasons for

resistance offered by others may be invalid, *but their feelings are real.* Unless these can be expressed and analyzed for their validity in an atmosphere of mutual helpfulness, a leader will be handicapped by resistance.

Second, the leader must be *diagnostic* throughout the change effort. This calls for sensitivity – a constant analyzing of the situation to determine "the what" and "the why" of the forces that are actually at work. Some of these forces will help in accomplishing the change.

A Way of Analyzing Change

A useful tool for assisting the leader in this continuous diagnosis was first proposed by Kurt Lewin. Lewin viewed any situation in which change is to be attempted as a dynamic *balance of forces* working in opposite directions. One set of forces moves the situation in the direction of the anticipated change. These forces Lewin calls *driving forces.* The opposite set of forces tending to restrain or repress the situation from moving in the direction of the anticipated changes are called *restraining forces.*

These two sets of forces working against each other tend to create a dynamic equilibrium. Lewin called this a "quasi-stationary equilibrium" – that is, a balance which can be disturbed at any moment by altering either of the sets of forces involved. *This is change* – to alter the balance between the driving and restraining forces which keep a situation "as it is."

The use of this tool for analyzing the forces at work

Let me see if I can diagnose the "case of the overweight patient."

- Some of the *driving forces* for reducing his weight are . . .
- Some of the *restraining forces* maintaining his overweight are . . .

in a situation can easily be illustrated. Imagine a person who has been told by his physician that he is twenty pounds overweight and that at his age he should go on a diet and lose the excess poundage. We can easily think of many of the driving and restraining forces which are maintaining the situation of overweight. How can an imbalance be created so that change in the direction of less weight can come about?

Here are some possible *driving forces* which may be at work to reduce the patient's weight:

- The advice of the physician.
- Recognition that overweight has unhealthy physical effects – shortness of breath, strain on the heart, and so on.
- No one wants to be a "fatty." Could the overeating be a symptom of deeper psychological problems?
- Less weight would make getting in and out of cars and climbing stairs easier.
- "Maybe if I weighed less, I wouldn't feel so tired all the time."
- Personal appearance would be improved.

However, confronting these driving forces are some *restraining* forces working against a diet. Perhaps some of these are:

- "Doctors are always giving out advice." – some possible resentment at the seeming criticism implied in the physician's advice.

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Using my diagnosis, what are the ways I would help the "overweight patient"?

- The personal discipline required to change eating habits.
- Many favorite foods have to given up.
- Clothing will have to be altered.
- More frequent excercise may be a better physical conditioning than weight loss through dieting.
- "Everybody's dieting nowadays – it's the current fad." – resistance to other than self-determined values.
- Lack of personal support from other associates or family in establishing and keeping to a diet.

Until some imbalance is created in these forces to disturb the equilibrium which maintains the situation of overweight, the physician's advice is not likely to be implemented. How can this be helped to happen?

Three Methods for Change

1. *First, the number or the strength of the driving forces might be increased.* The physician might confront the patient with evidence of the physical effects of overweight, making the problem urgent. This could result in a "crash diet." Or, perhaps friends and the family of the patient could give enthusiastic support to dieting by praising the effects upon appearance, comment on "the new vitality you have," or even the "weigh less and live longer" approach. In any case, the effect of this increase of the driving forces would be to "unfreeze" the situa-

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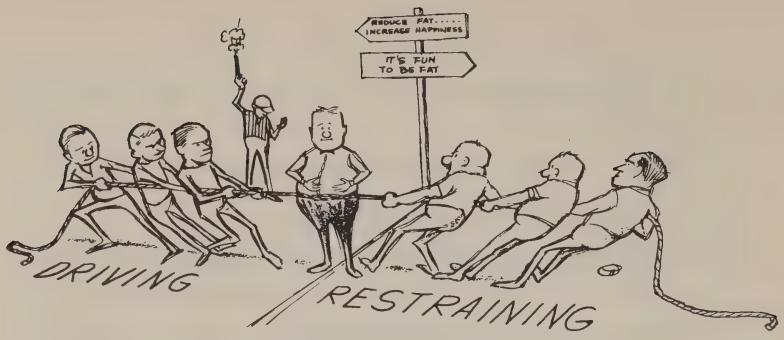
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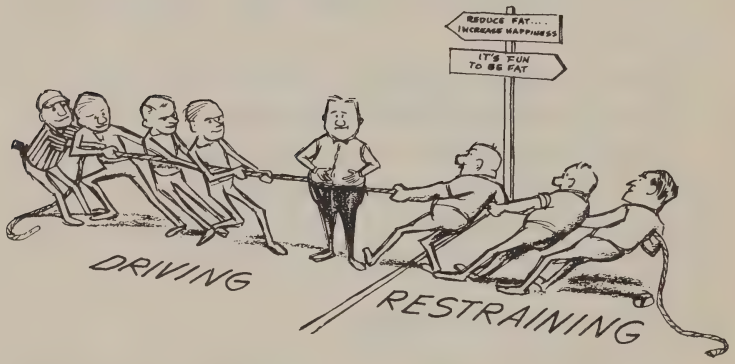
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tion and the change would begin to take place. The problem would be to keep the change moving and to *stabilize* ("refreeze") the behavior when the weight has been lost. This needs to be done without the need to "keep the pressure on" through "prodding," constant encouragement, or disapproval for "slipping."

The risk involved in bringing about change through increasing the driving forces is that when the vigilance and pressure are removed, the old situation may gradually return and the change be undone.

2. *The change might be accomplished by decreasing the strength and number of the restraining forces.* The physician could help the patient to express his personal feelings about the counsel that has been given. Friends and family might be more supportive through encouragement and assistance. The patient could be helped to a method of losing weight which fits his own values and capacities for self-discipline. By decreasing any of the restraining forces, the driving forces are then freed to effect the change.

Within organizational and group situations in which change is necessary, this reduction of restraining forces can frequently be accomplished through increased participation in problem-solving processes by those who are affected by the change effort. This is helped when people are free to express their own feelings and their reasons for resisting the change, and when they then actually influence the direction it is taking. Leaders know that when this strategy is used, it is easier to

Let me take time to think about what I have read to this point. What are the important things I have learned about helping with change?

> Try this: Take a situation you would like to change. Analyze it in terms of "driving" and "resisting" forces. Then ask: Which of these forces can I influence in order to change the balance?

stabilize the change at the new level of performance and effectiveness.

3. *Combine the first two methods.* We can easily examine the "Case of the Overweight Patient" and find ways in which driving forces could have been increased and restraining forces reduced so that the change could be effected. The important point is that through the use of this diagnostic tool of "Force Field Analysis" a leader has a way of visualizing and constantly analyzing the driving and restraining forces at work. This can be diagrammed so that through the analysis of the forces the leader can direct and make predictions about the possible consequences of changing any of the driving or restraining forces involved in the situation.

Some Points to Keep in Mind

It is certain that a leader cannot minimize the problems which will result from opposition to a change effort. However, our leadership in bringing about change can be more effective if the following points are kept in mind:

1. Exerting strong force ("increasing driving forces") through influence or authority in the effort to initiate or maintain a change process may bring about strong reactions against the change. Pressure invites counterpressure.
2. It is probably more effective to release resisting forces by opening up communication, by creating a

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climate in which feelings can be freely expressed, or by helping opposition actually to work through their reasons for resistance. This emphasizes the need for openness and a non-judgmental approach in the responses of a leader.

3. In organizational and group situations, the development of orderly problem-solving processes will certainly help. Such processes provide for maximum participation by those affected by the change. This helps to develop a situation in which imagination and experimentation can function freely. This is important because change creates a new environment in which people must learn to respond and act differently.

4. Change is truly accomplished when a new level of performance and effectiveness can be maintained without reducing the freedom of persons, and without requiring a continued expenditure of energy and effort to maintain the change.

5. No change is ever "little" – it is likely to be a big step for someone.

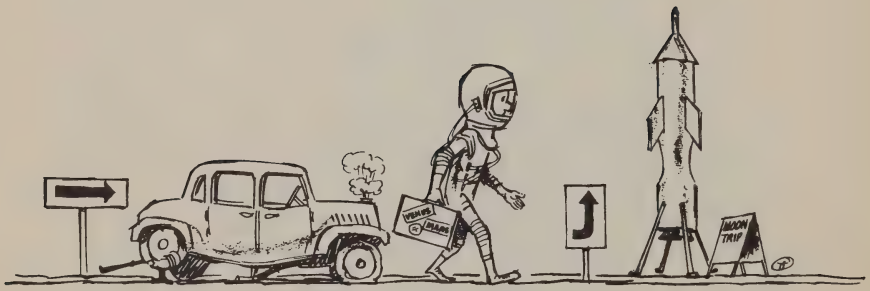
A LEADER MIGHT ASK HIMSELF . . .

1. *What is the difficulty that requires change in this situation? How did this difficulty begin? What is maintaining it?*

Every leader needs to do a careful analysis of the nature of the problem toward which the change effort is directed, and plan for the intended results. When the relationship between a leader and those who are being affected by the difficulty is such that there can be open discussion of the needs and dissatisfactions that necessitate the change, the analysis is likely to be more realistic. This kind of analysis is likely to provide data with which to begin the examination of the forces at work in the situation – and the involvement of others will be increasingly helpful after the change effort begins.

2. *What are my motives for attempting this change? What are the bases of my desire to promote this particular change?*

A leader needs to have a high level of self-awareness about his own values and needs as these become involved and influenced by the situations in which he must function. He particularly needs to be clear about his own values and how these will affect other people. Only as the values and motives of a leader are clarified and articulated can he be freed to be genuinely non-judgmental and helpful in his relationships with others during the change effort.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3. *What seems to be the present, or potential, motivations of others to make or resist the change?*

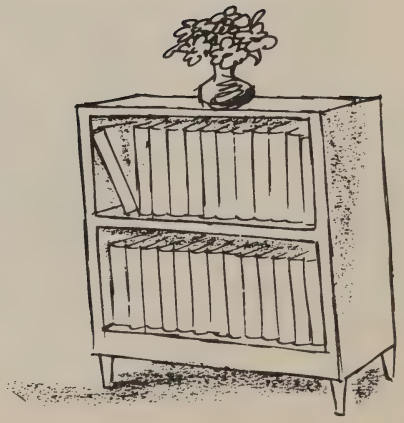
This focuses the attention of a leader on the continuing task of analyzing the driving and restraining forces which will be operating in any situation.

4. *What are my resources as a leader for giving the kind of help that seems to be needed now, or may develop as the change effort continues?*

One of the persistent problems of a leader will be that of assessing the personal resources required of him for providing both support and assistance in the change process. The requirements of time and skills that are to be needed should be very clear in a leader's thinking and planning. This requires a careful assessment of the limits of his own competency, and a knowledge of the competency and experience of others who may be called upon and used to help bring about the change.

5. *Once the change has begun, what do I need to do to stabilize and maintain it?*

Fundamentally, a leader is helping in a process of planned change. Since this change involves people, he must focus on specific steps and actions which will help people to develop the behavior needed in the new environment created by the change. To the degree that a leader is sensitive to the feelings and needs of others, they are likely to respond to his leadership. When a leader develops a climate in which freedom is maintained



for the persons affected by change, their imagination and creativity will be released to assist in the change effort. If a leader genuinely seeks the participation of others, he increases the depth of human resources available for accomplishing the improved performance and effectiveness, whether in an individual, a group, or in an organization. And this, of course, is the objective of change.

LOOKING FURTHER . . .

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3. GIBB, JACK and RONALD LIPPITT (eds.): *Consulting with Groups and Organizations* (Journal of Social Issues, Vol. XV, No. 2, 1959; Acme Printing and Reproductions, Ann Arbor, Michigan). A presentation by different authors of the role of the consultant or change agent in different change situations.

4. JACQUES ELLIOTT: *The Changing Culture of a Factory* (New York: Dryden Press, 1952). A pioneering report of the introduction of change in a company.

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6. LIPPITT, RONALD, JEANNE WATSON, and BRUCE WESTLEY: *The Dynamics of Planned Change* (New York: Harcourt, Brace and Company, 1958). A thorough analysis, both theoretical and applied, of the process of change within individuals, groups, organizations, and cultures.

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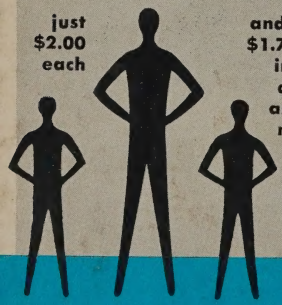

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